U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number Complete if Known Substitute for form 1449/PTO Application Number 10/703,978 Filing Date November 7, 2003 INFORMATION DISCLOSURE First Named Inventor Serkan Savasoglu STATEMENT BY APPLICANT Art Unit 3696 Examiner Name Carol A. See (use as many sheets as necessary) Attorney Docket Number Sheet 030587 of

U.S. PATENT DOCUMENTS Document Number Pages, Columns, Lines, Where Examiner Cite No.1 **Publication Date** Name of Patentee or Relevant Passages or Relevant Initials* MM-DD-YYYY Applicant of Cited Document Figures Appear Number - Kind Code² (if known) 2002/0103852 08-01-2002 Pushka 2002/0120542 08-29-2002 Higgins 2002/0133456 09-19-2002 Lancaster et al. 2002/0138382 09-26-2002 Seaman 2002/0147670 10-10-2002 Lange 11-18-2002 2002/0178111 Woodley 09-25-2003 Bodurtha et al. 2003/0182219 2003/0225656 12-04-2003 Aberman et al. 2003/0233313 12-18-2003 Bartolucci 2004/0133494 07-08-2004 Jones et al. 2004/0153388 08-05-2004 Fischer et al. 2004/0193536 09-30-2004 Marlowe-Noren 04-07-2005 Woodruff et al. 2005/0075959 04-07-2005 Woodruff et al. 2005/0075976 07-21-2005 Birle et al. 2005/0102213 09-21-2006 Williams et al. 2005/0160025 09-28-2006 2006/0212380 Aberman et al. 2006/0218069 05-12-2005 Savasoglu et al. 06-13-1989 Roberts et al. 4,839,804 5,832,461 11-03-1998 Leon et al. 5,930,777 07-27-1999 Barber 6,263,321 07-17-2001 Daughtery, III 11-20-2001 6,321,212 Lange 05-15-2007 Birle, Jr. et al. 7,219,079 05-22-2007 7,222,094 Ross 7,236,955 06-26-2007 Sugahara 07-24-2007 Noraev et al. 7,249,083 08-14-2007 7,257,555 Farr 7,257,556 08-14-2007 Rifkin 7,305,362 12-04-2007 Weber et al.

Examiner	Date	
Signature	Considered	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08b (08-08)
Approved for use through 08/31/2008. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449/PTO			<u> </u>	Complete if Known		
				Application Number	10/703,978	
				Filing Date	November 7, 2003	
INFORMATION DISCLOSURE			SURE	First Named Inventor	Serkan Savasoglu	
STATEMENT BY APPLICANT		Art Unit	3696			
				Examiner Name	Carol A. See	
(use as many sheets as necessary)						
Sheet	2	Of	3	Attorney Docket Number	030587	

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*			T²
		Craig, Pirrong, "Manipulation of Cash-Settled Futures Contracts", JSTOR: The Journal of Business, Vol. 74, No. 2, (2001), pp. 224.	
		Office Action issued on September 27, 2007 in Application No. 10/677,172.	
		Office Action issued on April 15, 2008 in Application No. 10/677,172.	<u> </u>
		Office Action issued on July 31, 2007 in Application No. 10/679,054.	
	-	Office Action issued on Jan. 23, 2008 in Application No. 10/679,054.	
		Office Action issued on July 22, 2008 in Application No. 10/679,054.	
		Office Action issued on Aug. 3, 2007 in Application No. 10/679,071.	
		Office Action issued on Jan. 9, 2008 in Application No. 10/679,071.	
		Office Action issued on Aug. 20, 2008 in Application No. 10/679,071.	
		Office Action issued on Oct. 1, 2007 in Application No. 10/703,975	
		Office Action issued on April 21, 2008 in Application No. 10/703,975	
		Prospectus Supplement, Public Service Enterprise Group Incorporated (PSEG) Sept. 5, 2002.	

Examiner	Date	
Signature	Considered	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SENDTO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08b (08-08)

Approved for use through 08/31/2008. OMB 0651-0031 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449/PTO			- poisonie and io	Complete if Known		
				Application Number	10/703,978	
				Filing Date	November 7, 2003	
INFORMATION DISCLOSURE				First Named Inventor	Serkan Savasoglu	
STATEMENT BY APPLICANT			CANT	Art Unit	3696	
				Examiner Name	Carol A. See	
(use as many sheets as necessary)			ssary)			
Sheet	3	Of	3	Attorney Docket Number	030587	

NON PATENT LITERATURE DOCUMENTS

teificle* No. 1 item (book, magazine, journal, serial, symposium, catalog, etc.), date, page		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		Prospectus Supplement, The Hartford Financial Services Group, Inc., Sept. 9, 2002.	
		United States Patent Application No. 10/677,172 (Attorney Docket No. 030586)	
	<u> </u>		

Examiner	Date	
Signature	Considered	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SENDTO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.